

TRANSMITTAL LETTER TO THE UNITED  
STATES DESIGNATED/ELECTED OFFICE  
(DO/EO/US) CONCERNING A FILING  
UNDER 35 U.S.C. 371

Date of Mailing:  
14 December 2005

Attorney Docket No.  
0074-530346

U.S. Application No. (If Known)  
Not yet assigned **10/560670**

Express Mail Label No.:  
EL 997340137 US

Int'l Application No.  
PCT/NZ2004/000124

Int'l Filing Date  
17 June 2004

Priority Date Claimed  
18 June 2003

TITLE OF INVENTION

Zwitterionic Non-Linear Optophores and Devices Incorporating Same

Applicant(s) for DO/EO/US

WOOLHOUSE, Anthony D.; KAY, Andrew John

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

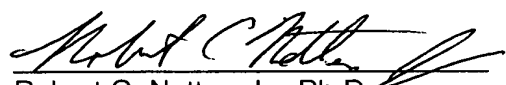
**Items 11 to 20 below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.
14. ☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:

|  |              |  |         |                           |  |
|--|--------------|--|---------|---------------------------|--|
| U.S. Application No.<br>Not yet assigned   |              | International Application No.<br>PCT/NZ2004/000124 |         | Docket No.<br>0074-530346 |  |
| The following fees are submitted:  |              |  |         |                           |  |
| 21. [X] BASIC NATIONAL FEE .....   |              |  |         | \$300                     |  |
| 22. [X] Examination Fee<br>If international preliminary examination report prepared by USPTO and all claims<br>satisfy provisions of PCT Article 33(1)-(4) .....   |              |  |         | \$100                     |  |
| All other situations .....   |              |  |         | \$200                     |  |
| 23. [X] Search Fee<br>Search fee (37 CFR 1.445(a)(2) has been paid on the international application to the<br>USPTO as a International Searching Authority. ....   |              |  |         | \$100                     |  |
| International Search Report prepared by International Search Authority other than<br>USPTO, but provided to Office by Applicant(s) .....   |              |  |         | \$400                     |  |
| All other situations .....   |              |  |         | \$500                     |  |
| Total of 21, 22, 23  |              |  |         | \$900                     |  |
| [ ] Additional fee for specification and drawings filed in paper over 100 sheets<br>(excluding sequence listing or computer program filed in an electronic medium).<br>Total Sheets      Extra Sheets      No. of each add'l 50 (round up to whole number)<br>-100 =                      /50 =                      x \$250 |              |  |         | \$0                       |  |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from<br>the earliest claimed priority date   |              |  |         | \$0                       |  |
| Claims   | Number Filed | Number Extra                                       | Rate    |                           |  |
| Total Claims   | 17 -20       | = 0  | 50      | \$0                       |  |
| Independent Claims   | 2 -3         | = 0  | 200     | \$0                       |  |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)  |              |  | + \$360 | \$0                       |  |
| <b>TOTAL OF ABOVE CALCULATIONS</b>   |              |  |         | \$900                     |  |
| [ ] Applicant claims small entity status. See 37 CFR 1.27.<br>The fees indicated above are reduced by 1/2  |              |  |         | \$0                       |  |
| <b>SUBTOTAL =</b>  |              |  |         | \$900                     |  |
| Processing fee of \$130.00 for furnishing the English translation later than<br>30 months from the earliest claimed priority date (37 CFR 1.492(f))  |              |  |         | \$0                       |  |
| <b>TOTAL NATIONAL FEE =</b>  |              |  |         | \$900                     |  |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The<br>assignment must be accompanied by an appropriate cover sheet<br>(37 CFR 3.28, 3.31). \$40 per property  |              |  |         | \$0                       |  |
| <b>TOTAL FEES ENCLOSED =</b>   |              |  |         | \$900                     |  |

- a. [X] A check in the amount of \$ 900.00 to cover the above fees is enclosed
- b. [ ] Please surcharge Deposit Account No. 04-1406 in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. [X] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit  
any overpayment to Deposit Account No. 04-1406. A duplicate copy of this sheet is enclosed.

SEND ALL CORRESPONDENCE TO: **CUSTOMER NUMBER 000110** to the attention of the individual listed below.

  
Robert C. Netter, Jr., Ph.D.  
Registration No. 56,422

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

COMMISSIONER FOR PATENTS  
 Alexandria, Virginia 22313-1450

**BOX PCT**

Date of Mailing  
 December 14, 2005

*Express Mail Label No.*  
**EL997340137US**

Applicant's or Agent's File Reference  
 0074-530356

**IDENTIFICATION OF THE INTERNATIONAL APPLICATION**

Int'l Appln. No.  
 PCT/NZ2004/000124

Int'l. Filing Date  
 17 June 2004

Applicant (name)  
**WOOLHOUSE, Anthony D.**

**TRANSMITTAL OF LETTER TO THE UNITED STATES  
 DESIGNATED/ELECTED OFFICE (DO/EO/US)**

**Attention: PCT International Division**

We are enclosing the following for the above-identified international application:

- 1) Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371 (**FIRST** submission): Form PTO-1390 (2 pages);
- 2) Copy of International Publication No. WO 2004/111043 (International Application No. PCT/NZ2004/000124) with amended sheets;
- 3) Preliminary Amendment; and
- 4) Check in the amount of \$900: (large entity): basic national fee (\$300); examination fee (\$200); search fee (\$400).